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ABSTRACT

This report results from a project using the OCLC system to provide catalog services to small libraries. Alternatives described include: centralized cataloging, centralized book processing, sharing of OCLC terminals, and use of dial-up terminals. The OCLC data base was found useful for all types of small libraries. It is recommended that network planners give more attention to how small libraries can economically use library networks. (Author)

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FINAL REPORT

Project No. 475AH50081
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ANAYLSIS OF REQUIREMENTS OF ON-LINE NETWORK CATALOGING SERVICES FOR SMALL ACADEMIC, PUBLIC, SCHOOL, AND OTHER LIBRARIES: A DEMONSTRATION PROJECT USING THE OCLC SYSTEM.

BEST COPY AVAILABLE

By
Barbara Evans Markuson
Principal Investigator
INDIANA COOPERATIVE LIBRARY
SERVICES AUTHORITY

Project Staff:
Janice Alexander and Debora Shaw

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ABSTRACT

This report results from a project using the OCLC system to provide catalog services to small libraries. Alternatives described include: centralized cataloging, centralized book processing, sharing of OCLC terminals and use of dial-up terminals. The OCLC data base was found useful for all types of small libraries. It is recommended that network planners give more attention to how small libraries can economically use library networks.

FOREWORD

This report describes a demonstration project to test methods for providing on-line network services to small libraries. The OCLC system was used as the network; cataloging was the service tested. A project objective was identification of requirements to be met in planning on-line services for small libraries.

The project has been only partially successful. The problem is at once trivial and complex. The basic problem is the low level of funding and the low volume of activity. No other major factor was found that makes small libraries that different from large libraries. There is reason to believe that most on-line network services now being planned ignore the small library and that services will be designed so that it will not be economically feasible for small libraries to use them. Thus the national library network, which assumes a hierarchy from the national to the local level, may not actually ever get close to the grassroots.

As a demonstration, the project was quite successful. Over 110 libraries obtained cataloging from the OCLC system during the project; through seven workshops about 150 librarians were introduced, many for the first time, to discussions of on-line networks, the OCLC system, the MARC format, etc. From this demonstration two spin-off projects will probably become operational. One is a continuation of this demonstration as an operational service. The second is a scheme for cooperative input of catalog records for media materials in which both OCLC and non-OCLC libraries will participate.

Although not all of the planned objectives were met, if this project helps focus attention on small libraries in network development and planning, then our larger objective will have been gained.

Acknowledgement is due to two outstanding librarians, Janice Alexander and Debora Shaw, who assisted in this project as catalogers for the demonstration and in performing related data analysis tasks. Mrs. Alexander also wrote a paper, "School Libraries and the INCOLSA Network", describing certain aspects of this project. The paper is printed through the permission of the Indiana School Library Association as Exhibit 1 in the Appendix of this report.

The viewpoints expressed in this report are those of the author and do not necessarily represent the official position of the Indiana Cooperative Library Services Authority. Errors of commission will no doubt be evident and are regretted; errors of omission may even be greater since there is so much that could be said about the importance, dedication, and needs of our small libraries.

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PART I

MAJOR FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

Major Findings:

The major findings of the study are presented here; further information is provided elsewhere in the report.

1. A centralized cataloging service, using the OCLC data base, in which cataloging was done from request slips without the book in hand was judged successful by participants.

2. Cataloging using minimal editing techniques provided a satisfactory product.

3. Cataloging services for small libraries will probably not achieve a find rate greater than 60 percent if only MARC records are used.

4. Input from other libraries is of major importance in achieving a high find rate in serving small libraries; use of OCLC member records with minimal editing was judged satisfactory by small libraries.

5. The combination of request slip data, use of member input, and minimal editing resulted in cataloging speeds averaging 2.95 minutes per title (based on time data for 6,863 titles).

6. Cost is the most important factor in extending services to small libraries.

7. Small public, school, special, and academic libraries can be handled successfully with a standard service.

8. Duplication of titles is much lower among small libraries than was thought.

9. Small library collections can contribute greatly to resource sharing; collectively small library holdings represent an enormous resource.

10. Cooperative sharing of existing terminals with small libraries will help maximize efficient use of on-line equipment.

11. It will not be feasible for a majority of libraries to have terminals at present network growth rates.

12. Centralized services will be the only viable alternative for bringing on-line network benefits to the small library for the foreseeable future.

The Small Library in a Network Environment

One of the compelling features of the post-World War II era has been the rapid expansion of new technologies. Almost every home has at least one radio and television; micro-wave ovens, tape recorders, automatic alarm systems are no longer novel. Business and industry have been revolutionized by computers, automatic machinery, new materials and processes. Libraries, as well, have been part of this change - theft detection systems, information retrieval systems, copying machines, microfiche, minicomputer circulation systems, and on-line networks are also no longer novel.

Despite this, it can be argued that in the library field these changes have affected only a segment of our library community. There are on-line data bases in some libraries; yet there are many school libraries and some public libraries without a telephone. There are on-line cataloging systems; yet a survey of Indiana libraries in 1973 revealed that over 52 percent of the 408 libraries responding prepared most of their catalog cards locally. The price of on-line terminals is going down; yet, in Indiana, the cost of a single OCLC 100 terminal is greater than the total annual budget for books and other materials for almost three-fourths of the public library respondents, and over one-fourth of the special library respondents.

It can be argued that the differences between large and small libraries might well increase. As larger libraries increasingly use automated services, the differences will no longer be merely in scale. In fact, we could create two mutually exclusive national systems - large libraries linked in a national on-line system and another non-system of small libraries without access to technical resources.

On the other hand, just for the sake of argument, let us assume that access to the national network will be provided by placing one terminal in every library, regardless of size, and multiple terminals in larger libraries. In Indiana this would require about 2,930 terminals since there are many hundred of small school and public libraries. Assuming costs similar to the OCLC system the equipment costs would be:

$10,952,000 for terminals
+ 432,175 for installation

$11,385,175

The recurring support costs for telecommunications and maintenance, based on current INCOLSA and OCLC charges, would be $5,049,000 a year.

Continuing the argument, let us assume that Indiana is an average state so that we can roughly calculate national charges by multiplying the above figures by 50. The total costs for the goal of a "terminal in every library" is:

Initial acquisition of equipment - $569,208,750

Recurring costs for maintenance and telecommunications - $255,000,000.

This leaves out the question of supporting the central computer system and data bases. Let us assume that libraries could support the central system if local equipment and telecommunications were given them. The postulated system for Indiana alone would require all the terminals existing and planned for OCLC through June 30, 1978.

Whether this is a reasonable outlay is, of course, a social question. It seems obvious that this magnitude of funding could only be achieved from Federal support Whether such funding will be obtained will depend upon how a national library system evolves and how it will be funded. In the meantime, it seems clear that other strategies must be evolved to help small libraries share in the networking benefits that currently exist. Some of these are discussed in the next section.

Defining the Small Libraries

A variety of methods - discussion sessions, workshops, questionnaires, demonstration projects, and data analysis - were used to try to identify network requirements unique to small libraries. It must be admitted early that some of the statements in this report are based on subjective judgments. This subjectivity is somewhat offset by the author's practical experiences as director of a network with 58 OCLC terminals in operation and a processing center using the OCLC system to serve public and school libraries.

First of all how is a small library defined? For the purposes of this project, we assumed the following book budgets as characteristic:

Public Libraries - less than $25,000

School Libraries - less than 10,000

Academic Libraries - less than 15,000

Special Libraries - less than 7,000.

Another working definition was any library that probably would be unable to install and maintain an OCLC terminal with its available resources, was considered a small library.

Small libraries fall into two groups. The first group includes those which are too small to use OCLC directly at present costs. For this group the only feasible alternatives are centralized cataloging and/or processing services. The second group could partially support OCLC costs. For this group feasible alternatives include sharing a terminal or using a dial-up terminal rather than the decicated OCLC 100 terminal. These alternatives are discussed in Part II.

PART I

Potential Services for Small Libraries

In Part II, some of Indiana's experiences with four modes of service for smaller libraries are reported. The four modes are: an OCLC-based centralized cataloging service, an OCLC-based book processing service, sharing of OCLC terminals, and dial-up access to OCLC. Some of the major features of these arrangements are summarized below.

Centralized Cataloging Services: The INCOLSA demonstration tested cataloging service in which cataloging would be done without the book in hand. This method, by eliminating the cost of shipping and handling the book, would represent, we believed, the lowest possible network cataloging service now available using OCLC. As shown in Part II, this demonstration was judged successful and an operational service is now being planned.

In such a service, many libraries can be handled from a single card production profile, thereby obtaining the major benefits of reuse of OCLC records. Such a service can be mounted rapidly, say within six months, and requires a minimum of capital outlay. With experienced staff it should be possible to catalog from 45,000 to 50,000 titles with two terminals operating close to full schedule.

Even so, we estimate that to catalog the total annual book acquisitions for the state would take a total of about 138 terminals (78 in medium and large libraries, and 50 serving small libraries) if all libraries were to be included. This approach would utilize equipment resources to the maximum and would minimize training and management resources.

Processing Centers: Several state-wide, county-wide, and school system processing centers now operate on the OCLC system and serve several hundred small libraries. Establishing a processing center requires more capital outlay than a cataloging service since more space and equipment is required to handle the physical aspects of processing. While processing centers offer the packaged service that relieves the small library of most of its technical processing burden; costs are considerably higher than for cataloging alone. Thus, without subsidization, it is a hard task to run such a center at a cost that small libraries can or are willing to pay.

A full book processing center can provide many advantages of the OCLC system; the data base is available to answer questions related to acquisition; the catalog cards can be produced automatically, and, with the use of the printer attachment spine and book pocket labels can also be produced automatically. Transfer of a manual book processing center to an OCLC based center requires a great deal of planning to achieve high production at lowest possible cost. Establishing a new center based on OCLC would allow procedures to be established from the beginning around terminal operations. Readers contemplating establishing such a center might well contact groups such as the American Library Association's Resources and Technical Services Division/Technical Services Directors of Processing Centers Discussion Group and visit established OCLC-based centers.

PART I

Sharing Terminals: Many OCLC users do not have the cataloging volume to utilize a terminal to its maximum. Existing terminals, not fully utilized, theoretically represent a resource amounting to several hundred terminals available and operational. Although the OCLC system is growing rapidly, it is not an inexhaustible resource, as networks are increasingly coming to realize. For example, with 26 networks now using OCLC, a modest expansion in each network can amount to several hundred terminals. The INCOLSA network's terminal allocation for fiscal year 1977/78 is 19 terminals, over half of which were spoken for before the fiscal year began. Networks may be forced to allocate terminals so that they will bring the most benefit, in terms of revenue, cataloging data, and resource sharing potential, to the whole network. Such an approach would make it increasingly difficult for small libraries to obtain terminals independently. Sharing terminals provides a satisfactory solution in some cases.

Part II includes a brief discussion of some of the aspects to consider in sharing terminals. Some small libraries, particularly those in a metropolitan area, will find this a satisfactory method for participation. However, this approach seems practical only for libraries large enough to be able to bear their share of the system costs, able to spend the time to learn to operate the system, and able to have staff away from the library to process on the shared terminal without impeding local service. In addition, for very low volume users, infrequent use of the system may tend to less efficient use. Sharing is perhaps best suited to those libraries processing at least 1,500 to 2,500 titles a year.

Libraries undertaking to share terminals have to plan equitable arrangements for access, payment, priorities, etc. Another feasible approach is for networks to own terminals, located centrally or distributed throughout the area which could be made available under a standard fee structure for small libraries. As far as is known no such plan is yet underway. The INCOLSA network makes a terminal available in its central headquarters for its small libraries to use (these libraries sign all the contracts and bear all the responsibilities that any other OCLC user would have).

Dial-Up Access: OCLC also allows access to its system through dial-up rather than dedicated telecommunications lines. This allows libraries to use a less expensive terminal and, in some cases, terminals that are already available within the institution. This approach, due to the higher telecommunications costs per unit of time, is cost effective only for libraries with a small cataloging load.

Cost of Services: No attempt was made to compare specific costs of these centralized services. Many processing centers receive various forms of subsidies so that cost comparisons can be misleading. Labor costs also vary widely. It does not seem to us that a cost of less than $2.50 a title for full book processing or $1.00 a title for a cataloging service only service will be easy to achieve, even with automation, if all costs are recovered. As noted in Part II, this is about twice what most small libraries think they could pay for cataloging. Whether a system can be designed to meet this very stringent cost requirement is conjectural, but it illustrates the gap between the small library and the large libraries that would be pleased to achieve costs even in the $5.00 to $10.00 range.

PART I

In planning any of these services one of the most important aspects of determining costs will be the First-Time-Use charge. If a high proportion of titles are unique then the charge will tend toward the $1.20 rate. It is easy to be too optomistic on the rate of duplication among small libraries - in actual fact the dispersal in acquisitions can be astonishing, particularly if there is no purchasing or selection list to create a basic workload of duplicate titles. Dispersal of purchasing is good for resource sharing, but bad for cataloging costs. It may take many months to achieve a duplication rate of 30 percent, even with thirty to fifty users.

Factors in Serving Small Libraries

Throughout this project we tried to discover factors that would discriminate the types of cataloging services needed by small public, school, special, and academic libraries. In general, we found that the OCLC service provided a satisfactory data base for all users, although special libraries requiring cataloging for technical report literature had a low find rate. All of these libraries would like to have cataloging for media materials readily available. We found no differences that lead us to believe that separate services would have to be set up to handle these libraries.

Cataloging problems: With respect to cataloging many problems are attributable to lack of staff time, lack of specialists, and lack of support resources. Among these problems participants noted: time for original cataloging was limited, difficulty in establishing corporate entries, lack of time to devote to cataloging, difficulties in classification, difficulties in keeping abreast of change, e.g. in rules and classification schedules, government publications often were hard to catalog, jobbers were slow in providing cards, handling of non-book materials was difficult, etc. For many small libraries, the major resource available for in-house cataloging is Cataloging-in-Publication.

Two divergent attitudes seem dominant. One attitude is local self-sufficiency. For example, several participants in the demonstration project initially believed that the ideal service for them would be one in which the automated system produced copy which they could use to type cards locally. The opposite attitude is that whatever can be done for them is better than they can do locally and they would welcome a system that relieved them from as many local tasks as possible.

Economics: Economics presents such a major hurdle to many of these libraries that cost outweighs all other criteria. Often participants seemed to be unaware of what prevailing costs for cataloging services were; because they do local cataloging for "free" they set a low value on a network service even though it would be desirable to them. For example, when asked what they could consider paying for a cataloging service, customized to their need, with full sets of cards ready for filing, not a single participant believed that this would be worth more than $2.25. Only 6 respondents thought it would be worth from $1.00 to $2.24. The majority thought it would be worth 25 to 49 cents.

PART I

Some participants were aware that services are worth more than what they can pay. They are in a situation, however, in which library boards or administrative bodies consider outside services as increasing the cost of running the library. Participants often believed that these groups were not as interested in maximizing library effectiveness or services as they were in holding down costs.

The economic situation of small libraries will place enormous constraints on reaching national network goals if viable solutions cannot be found. Some networks using OCLC have opted for subsidization of small libraries through use of LSCA funds; others have adopted an equity policy since their members do not believe that it is fair for large libraries to have to subsidize small libraries. A national policy of network subsidies to enable networks to offer services to small libraries might be a feasible way out of this dilemma.

Standardization: Although small libraries do a high proportion of cataloging locally, they did not seem any more resistant to standardization than any other segment of the library community. Most participants in the project rated the cataloging from the MARC/OCLC records as good or very good. There are two extreme attitudes that surfaced. One is that small libraries have to get more out of their collections and therefore need more content analysis and subject headings than large libraries do. This, of course, increases the cost of cataloging. The other attitude is that in a small library users don't need all that information - one participant called it "over cataloging".

The major complaint against the standardized cataloging was from the school library community. Many school library participants believed that the catalog cards should have had more subject headings related to the way "in which teachers ask for things"; for example, a book on a specific heading should also be under broader headings. This a book on "tornados" should also be under the heading "weather".

During discussion sessions there were arguments pro and con these viewpoints. Some participants felt that librarians in small libraries were expecting the catalog to become a universal tool - a reference source, an index, etc. - and that standard bibliographical and reference books were not being used in conjunction with the catalog. In general, however, most participants agreed that they could use a standard catalog record.

Training: In the OCLC system, a considerable number of man-days or weeks must be devoted to learning new techniques. These include terminal operation, MARC formats, and, in many cases, standard cataloging practices. Networks are growing increasingly concerned about input quality and many now include a commitment to quality control in their OCLC user contracts. In a large library a specialized staff may have to be trained only in certain aspects of the system, the smaller the staff the more the training and learning burden. Nevertheless, a canvass of small libraries revealed that if cost were no object they would rather use a terminal directly than use a centralized service.

Resource Sharing: Resource sharing is, of course, one of the major benefits of a system such as OCLC. Special, public, and academic libraries generally were more interested in this aspect than were school libraries. Nevertheless, 77 out of 84 participants agreed that, as a minimum, small libraries should be willing to add their unique materials to a state-wide data base; one participant disagreed with this and 6 felt it was something they would possibly consider.

The value of having holdings of small libraries in a state-wide data base should not be underestimated. The demonstration project cataloged almost 8,000 titles for 112 small libraries; the variety and scope of the titles were great. In general, selection was much better than had been expected and, in many cases, the demonstration project cataloging was the first instance of an item being cataloged in the state although about 30 large libraries in the state were doing on-line cataloging at that time. Access to the collections of small libraries would greatly improve resource sharing capabilities within a state*.

The demonstration project and the insight gained in the various workshops and discussion sessions lead us to the conclusion that small libraries will be enormously benefited by network services; that state-wide resource sharing will be greatly enhanced by having access to small as well as large collections and that small libraries have much to offer in planning local user services. The problem is: how can these services be planned at a price that this important part of the library community can afford?

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* A brief check, at random, of 33 titles six months after the end of the project, revealed that for 22 of them no other locations are as yet posted for Indiana.

RECOMMENDATIONS

The following recommendations are based on the demonstrations as well as general experience in provision of on-line network services.

National Planning: Increased attention needs to be given to small libraries in planning network services. Systems must be designed so that small libraries can participate directly or indirectly within their available budgets or, alternatively, subsidies must be provided to support access. It is not too early to explore how these subsidies might be made available or to estimate the level of subsidization that would be needed to provide basic service to all small libraries.

Cost Analysis: To determine whether subsidization is appropriate, we need to know more about the economics of small libraries. Is there any evidence that the demands versus resources is any worse for the small library than for the large? What would be a fair amount for a small library to pay for network services in proportion to large libraries? What is the best and most equitable measure for allocation of network fees - total budget, titles cataloged annually, circulation, population, users served? What are the actual costs of processing materials in small libraries - does this absorb a larger part of the library budget for the small library than it does for the large?

Cataloging: Is there validity to the argument that small libraries need different subject headings and assignment of broader headings; if so, should LC provide alternative headings for smaller collections? In the conversion to OCLC, the INCOLSA Processing Center switched from Sears to LC subject headings because it was more cost efficient to use the LC headings. Since Sears headings are not being applied to records at the national level, it may well be that the on-line networks will tend to decrease use of these headings. Our initial investigation showed a substantial overlap between Sears and LC. Should LC incorporate the features that made Sears attractive to small libraries so that we can develop a single source for subject headings?

Communication: The national library network envisions a hierarchical structure which links the small library upwards eventually to the national library. At present the only established communication link is the U.S. mail. During the project, we were amazed to discover that what we thought was another established link - the telephone - was by no means universally available. We found that many school libraries did not have a telephone. To make a call for catalog assistance, resource sharing, or reference assistance requires the librarian to leave the library. We sometimes found it difficult to relay messages through intermediaries when attempting to contact a school library. Whether this is a universal problem or unique to Indianna is something we did not investigate. It does seem, however, that ability to contact network hierarchies by something faster than the U.S. mail will be basic to improving user services. It is recommended that attention be given to this problem; if it is univeral, perhaps, standards need to be developed in this area.

Systems Design: The present OCLC system allows considerable flexibility in record editing, card specifications, etc. It might be feasible to consider developing systems with options to make the cost more favorable for small libraries.

One possibility is a design that would allow a low cost terminal for small libraries. On this terminal a library could search to locate resources and could request catalog cards. However, minimal editing, perhaps only for the call number, would be allowed from a display screen on which cataloging was not shown in the MARC format but displayed like a catalog card. Original cataloging could be submitted to a network center, state library, etc. for input. Efforts to redesign existing systems to lower costs should be fostered. New systems should be designed to accommodate more flexible services with variable costs to enable a library to participate at the most cost/benefical level for it.

PART II

THE DEMONSTRATION PROJECT

SECTION I

INTRODUCTION

Background of Project

The Indiana Cooperative Library Services Authority (INCOLSA) is a state-wide multi-type library network with 123 members. The major objectives of INCOLSA are:

- To improve services to users of Indiana libraries
- To reduce the rising costs of library operations
- To make more effective use of Indiana's library personnel
- To ensure an effective integration of Indiana's libraries into a national library network.

In order to achieve these long-range objectives a set of goals has been established for each objective. These goals are listed in Figure 1. These cooperative objectives and goals are not unique; many other networks could have similiar objectives. However, INCOLSA as one of the earliest of the state-wide, participatory, multi-type networks was faced with the problem of trying to achieve these objectives for small libraries as well as large.

In mid-1975 INCOLSA contracted to use the Ohio College Library System (OCLC) since it was the only cost-effective way to reach some of these goals in a reasonable time. At the time the decision was made, INCOLSA's major reservation concerned OCLC's failure to implement the full Machine-Readable Catalog Record (MARC) formats for media as well as books. Upon assurance that these changes were to be made, INCOLSA rapidly implemented the OCLC system in Indiana. Within the following year OCLC did indeed implement full MARC formats for all media.

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* This report assumes a basic familiarity with the OCLC system. Readers desiring more background in this area may wish to consult:

Plotnik, Art, "OCLC for You - and Me?! A Humanized Anatomy for Beginners", American Libraries, v.7, No. 5, May 1976, p. 258-275.

Markuson, Barbara Evans - "The Ohio College Library Center System: A Study of Factors Affecting the Adaptation of Libraries to On-Line Networks", Library Technology Reports No. 12, Jan. 1976.

PART II, Section I

Objective 1. To improve service to Users of Indiana Libraries.

Goal 1.a. To develop a union catalog of major Indiana library resources.

Goal 1.b. To develop an effective telecommunications system for interlibrary loan with rapid location and delivery of needed materials.

Goal 1.c. To increase overall coverage of materials, in all media, by reducing unnecessary duplication, through effective resource development programs.

Goal 1.d. To develop effective systems for use of machine-readable data bases.

Goal 1.e. To develop last-copy depositories for materials.

Goal 1.f. To improve services to specialized user groups including business and industry, agriculture, municipal and state agencies, and the disadvantaged, by cooperative action.

Objective 2. To reduce the rising costs of library operations.

Goal 2.a. To reduce the number of local library processing units through establishment of central processing centers.

Goal 2.b. To develop systems for use of Library of Congress MARC tapes to reduce local cataloging efforts.

Goal 2.c. To encourage the use of standardized technical processing forms and catalog cards.

Goal 2.d. To work toward cooperative cataloging of non-book materials.

Objective 3. To make more effective use of Indiana's library personnel.

Goal 3.a. To reduce duplication of effort in libraries.

Goal 3.b. To share expertise on a State-wide basis.

Goal 3.c. To promote in-service training to upgrade skills.

Objective 4. To insure an effective integration of Indiana's libraries into a national library network.

Goal 4.a. To promote use of national bibliographic standards.

Goal 4.b. To communicate national developments to the Indiana library community and to appropriate sectors of the non-library community.

Goal 4.c. To inform the outside library community of Indiana network developments and programs.

Figure 1. Major Objectives and Goals of the Indiana Cooperative Library Services Authority.

The OCLC system provided us with a way to implement a number of these goals for our larger libraries. It was clear, however, that we could not stop with bringing the benefits of automated cooperative on-line cataloging only to our larger libraries, but that we would have to try to develop methods for allowing services and benefits to smaller libraries as well. This project was the beginning of our efforts to seek solutions to an important problem in Indiana and throughout the country as well.

Statement of the Problem

INCOLSA's goals seemed to be in line with those national plans which were being formulated in the mid-1970s. Studies sponsored at the national level conceptualized a hierarchical network in which information and materials flow between the local to the national level. The network plans rested, insofar as bibliographic control was concerned, on a national system of on-line bibliographic networks. The thrust of the bibliographic control network was to facilitate user access to the bibliographic resources of the country through large on-line data bases. Since users will approach the system through all types of libraries and all sizes of libraries, then conceptually, at least, the system requires some type of link to all libraries.

The national library concept does not envision that each user from each local library will receive information and resources directly from the national level. Coupled with a network hierarchy, through which requests would flow, is the concept of a hierarchical level of self-sufficiency. For example, the local area might have a self-sufficiency of 70 percent, the state level might have an 85 percent sufficiency, the region 95 percent, and the national level close to 100 percent. These figures are by way of illustration only and are not recommended sufficiency standards. It is clear, however, that for this scheme to work we have to have information about the resources at all levels of the system, as well as methods to access this information.

From INCOLSA's point of view, it seemed that most attention was being given to the upper echelons of the hierarchy and, that planning was largely from the top down. We could get little guidance on how national planners anticipated that the small libraries will be integrated into the system and what support would be available for this effort. Since this was an INCOLSA concern, as well as a national concern, we applied for a demonstration grant to try to determine some of the critical factors in integrating small libraries into national on-line network services.

A broad range of information, delivery, and other services are postulated for the national library network. Since none are operational as yet, we decided that the OCLC system was the closest currently-operational approximation of a national bibliographic control network. It links the local library with a terminal, through state or regional network centers, to OCLC, and to the Library of Congress MARC records and thus comprises a national system with hierarchical compoments.

INCOLSA was interested to learn what would be required to bring the services of this "national system" to the small local libraries throughout the state. It hoped to isolate some of the factors involved to assist it, and other network organizations,

to begin to focus attention on the local as well as the upper levels of the national system.

The specific objectives for the demonstration were:

1. To identify those factors peculiar to cataloging operations in the small library.

2. To identify needs unique to special types of small libraries.

3. To test various alternative network structures for catalog services by demonstration of various alternatives.

4. To develop specifications for network catalog services to support small libraries.

Three major types of services were identified for demonstation: a full processing center, a centralized cataloging service, and local sharing of terminals. In addition, data would be gathered for some other potential alternatives.

Factors initially identified for consideration included: traditions and attitudes, education and training, types of collections, economics, access and delivery, administration and management, and standardization. The demonstration project would gather information informally through workshops, interviews and brief questionnaires.

Possible Configurations for Service to Small Libraries

The following configurations are potential methods of providing the benefits of on-line cataloging to small libraries:

*1. Centralized cataloging service

*2. Centralized book processing service

*3. Shared use of terminals

*4. Use of dial-up terminals

*5. Use of network-owned terminals centralized or decentralized geographically to facilitate access for shared use

6. Distribution of data base on COM for assistance to local cataloging

7. Development of local computer based card production system based on network tapes.

8. Provision of terminals to all libraries.**

The asterisks indicate those configurations with which INCOLSA, either through this project or other efforts, has gained some experience. Some of the suggested configurations above have not yet been tried.

** This is a potential, but not feasible, alternative at present.

CENTRALIZED CATALOG DEMONSTRATION PROJECT

During this project, INCOLSA cataloged 7,290 books for 112 libraries to demonstrate this alternative. To handle this workload the following conditions were set: a maximum of 100 titles would be cataloged for each library, only minimal editing of the OCLC catalog record would be performed, cataloging would be done without the book in hand, only LC and Dewey classification would be handled, and titles had to be submitted between August and December 31, 1976.

Potential participants were reached through INCOLSA mailouts, through the cooperation of the Indiana State Library, and multi-county cooperatives (Area Library Service Authorities) which sent mailings to their members. Interested librarians were invited to attend a one-day workshop to learn about networks, OCLC, INCOLSA on-line cataloging, and the project objectives. Seven of these one-day sessions were held in small towns throughout Indiana. Attendance varied, but usually there were about 25 participants. Attendees completed a brief questionnaire about their cataloging practices and problems.

A follow-up mailing was sent to each participant and to all INCOLSA members that could be characterized as small libraries. The follow-up explained the project, the conditions mentioned above, and included a return mail form for those interested in participation. Each participant agreed to complete a brief evaluation sheet at the end of the project. As participants signed up, they were sent a set of instructions and 100 catalog request forms. A copy of the request form is shown in Figure 1. The call for participants and instruction sheet are Exhibit 2.

Request forms were logged in by date, counted on a control form, and sent to the terminal. Cataloging was done in most cases directly at the terminal; occasionally a search was made of cataloging tools such as National Union Catalog, etc. Participants were allowed to indicate any special notations relating to the call number, e.g. if the title were for reference, if they used "FIC" for fiction, etc., so that the call number could be specific to their collection.

The high production rate and find rate could not have been achieved either with a manual system or a MARC-based automated system. The on-line system allowed cataloging rates frequently in excess of 160 titles per day per person, a rate not achievable in a manual system. The OCLC system, which allows access to member catalog records as well as MARC records, contributed significantly to the find rate, as the data below show:

	Percent	Cumulative Percent
Titles cataloged using MARC records	52.6	52.6
Titles cataloged using LC copy input by an OCLC user	6.7	59.3
Titles cataloged using OCLC original catalog records	40.8	100.1

Figure 2

SAMPLE CATALOG REQUEST FORM

Lib.Name&Address

LC# _____

ISBN# _____

Auth: _____

Tit: _____

Place: _____ Publ: _____

Date: _____ Edit: _____ Pag: _____

Call#: No___ Y___ FD____ SD____ FLC ____ C____ NC__ 3L___

Cards: FS____ SC___ Extra ___ Adult ___ J ___

Nearest Edition, No ___ Y ___ Other: _____

OCLC ___ MARC LC OC ICPY ICPN

The cataloging was done from request forms without the terminal operators seeing the books. The operators were librarians experienced with both OCLC operations and cataloging. While it might strike purists as impossible to catalog this way, the procedure is much like that used by libraries ordering Library of Congress cards. Library of Congress never sees the actual books for which cards are needed and libraries may have to make minor adjustments upon receipt of cards. However, via the terminal we were able to provide sets with overprinted headings, call numbers specialized to the library and its collections, and in general, participants would have to do less work than on a comparable set of LC cards.

Cards were shipped from OCLC to INCOLSA where they were sorted and mailed to the participants. In an ongoing operation this double mailing would be eliminated and cards would be shipped directly from OCLC to the participant, but it was not worth modifying the OCLC profile for a project lasting only a few months. The request form submitted by the library was returned with the card set as a control.

Table I summarizes production statistics by type of library. On the average slightly more than 95 out of every 100 titles for which cataloging was requested were in the OCLC data base. The highest find or hit rate was for school libraries; the lowest was for special libraries.

This project verified an assumption of ours that the duplication rate among small libraries is not high. This was based on observations reported by several processing centers, including the Indiana Cooperative Library Processing Center and on reports from the Washington State Library.

During this project, we produced the catalog cards by using the profile established for the Indiana Cooperative Library Processing Center. Their OCLC code (ICP) appeared on the OCLC record for any book they had processing during the period October 30, 1975 to December 1976. (The center processes for 39 public libraries and 14 school systems and handles about 45,000 to 50,000 volumes a year.) During the project 1,319 titles were cataloged which had also been cataloged by the Center, an overlap of 18.1 percent; 5,971 titles had not been processed by the Center.[1] Even if we eliminate the titles submitted by academic and special libraries on the assumption that they would be different from the public and school titles which the Center normally handles, the overlap is still only 23.7 percent.

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[1] Actually the overlap was even smaller since the 1,319 titles also included titles handled more than once during the project. Since we were also using the code, ICP, we could not tell whether the first cataloging was by the Center or the Project. Relying on memory only, the project librarians estimate this internal overlap to be very low.

TABLE I

INCOLSA CATALOGING PROJECT FOR SMALL LIBRARIES

PRODUCTION STATISTICS

TYPE OF LIBRARY	NUMBER OF LIBRARIES	TOTAL REQUESTS	CARD SETS SENT	NOT FOUND IN DATA BASE	FIND RATE	AVERAGE PER LIBRARY		
						REQUESTS SENT	CARD SETS SENT	REQUESTS NOT FOUND
ACADEMIC	13	1091	1000	91	91.65%	83.92	76.92	7
PUBLIC	34	2151	2059	92	95.72	63.26	60.55	2.70
SCHOOL	49	3509	3393	116	96.69	71.61	69.24	2.36
GOV. & SPECIAL	16	918	718	200	78.21	57.37	44.87	12.5
						AVERAGE TOTAL		
TOTAL BY TYPE *	112	7669	7170	499	93.49	68.47	64.01	4.45
GRAND TOTAL	112	7669	7290	499	95.1			

* Due to a failure to record a shipment of cards, data by type of library was only available for 7,170 of the 7,270 card sets produced. This difference would not significantly affect the values given in the table for type of library.

SECTION II

Evaluation of Demonstration Service

At the end of the demonstration, participants were asked to complete a brief evaluation instrument (see Exhibit 3). Although all participants had agreed to complete the evaluation prior to their acceptance in the demonstration, responses were received from 98 out of the 112 participants; a response rate of 87.5%.

Overall the evaluation was favorable. When asked if they would be interested in having this type of service available on a continuing basis, respondents replied:

Definitely interested - 57 respondents
Somewhat interested - 24 respondents
Not interested - 3 respondents
Don't know - 9 respondents.

Based on the findings of this project, INCOLSA has decided to begin a continuing service to start in 1978.

Evaluations on specific features of the project are presented below. In addition to the evaluation instrument, four follow-up discussion sessions were held for selected participants. These sessions concentrated on type of library: special, school, public, and academic. In general, few differences could be found among these libraries in relation to the cataloging service. It was concluded that a single service could serve all types of small libraries.

Instructions and forms: Overall, the instructions and request forms were judged adequate. We allowed participants to call collect if they had questions and almost none did. Overall there were few problems for the catalogers in using the forms. It turned out, however, that the pagination, which participants occasionally failed to include, was an important discriminant between editions and, in addition, since MARC now includes Cataloging in Publication records in which pagination is omitted, cards had to be produced with pagination blank where participants had failed to supply information on pagination. Respondents occasionally failed to specify whether they wanted full Decimal classification or truncated classification.

In an operational system participants would be asked to submit a standing cataloging profile so that information would not have to be repeated on the forms. This was not feasible in a short project, but establishing this profile would provide an opportunity to clarify certain instructions at an early stage.

Cataloging: Overall, participants judged the quality of cataloging positively. Table II shows the ratings for three criteria: call number, subject headings, and descriptive cataloging. Averaging all three the cataloging was rated overall as follows:

Very good ..... 57.6 percent

Good ..... 44.1 percent

Fair ..... 7.7 percent

Poor ..... 0.6 percent.

TABLE II

RESPONDENTS' EVALUATION OF CATALOGING PROJECT FOR SMALL LIBRARIES

	POOR	FAIR	GOOD	VERY GOOD	TOTAL
Instructions for participation and filling out catalog request forms	0	7	49	38	94
	0%	7.4%	52.1%	40.4%	99.9%
Catalog request form	1	7	47	30	95
	1%	7.4%	60%	31.6%	100%
Acceptability of call number	0	8	43	42	93
	0%	8.6%	46.2%	45.2%	100%
Acceptability of subject headings	2	9	51	40	102
	2.0%	8.8%	50.0%	39.2%	100%
Accuracy of descriptive cataloging for book in hand	0	5	32	54	91
	0%	5.5%	34.2%	59.3%	100%
Format and appearance of catalog	0	12	32	49	93
	0%	12.9%	34.4%	52.7%	100%
Lag time between request and card delivery	9	13	39	40	101
	8.9%	12.9%	38.6%	39.6%	100%
Condition of card sets when received	0	3	17	75	95
	0%	3.2%	17.9%	79.0%	100.1%
Overall usefulness of catalog card sets	1	3	30	59	93
	1.1%	3.2%	32.3%	63.4%	100%

* The top number in the upper box is the total number of respondents: that in the lower is the percent for that category.

This assessment is of particular interest in view of two project constraints: cataloging was done without the book in hand and OCLC records were accepted with only minor editing. The actual number of types of records used is shown below:

Library of Congress MARC records	3,833	52.6 percent
Library of Congress catalog card copy input by another library	485	6.7 percent
Original cataloging input by OCLC participating libraries	2,973	40.8 percent.

These data seem to strongly support two conclusions:

1. That minor or no editing of records can result in a product judged postively by small libraries, and

2. The great value of the contributed input to OCLC in achieving a high find rate even for cataloging for small libraries; the belief that small libraries can be served just from MARC cataloging seems not to be borne out by these findings.

These data also point out the necessity for the highest possible quality of OCLC original cataloging. The very great usefulness of the OCLC records in reducing cost of cataloging and duplication of effort is of such concern that OCLC and its related networks stress constantly that each inputting library should accept the responsibility to do its very best in achieving the highest standards of accuracy, completeness, and adherence to standards in OCLC cataloging.

Participants were asked whether they actually used the demonstration catalog cards in their own catalogs. Results were:

Used all of them -	67	-	77.8 percent
Used most of them -	20	-	21.7 percent
Used some of them -	3	-	3.3 percent
Used none of them -	2	-	2.2 percent.

This was an unexpectedly high rate since the format of the OCLC cards and the use of full Library of Congress cataloging would be novel for many of the participants. Only 4.3 percent of the respondents judged the overall usefulness of the cards as only "fair". Format and appearance of the cards was judged as follows: fair by 12.9 percent, good by 34.4 percent, and very good by 52.7 percent.

Timeliness of Service: There were certain problems during the project that kept it from being as timely as it should have been. For one thing, libraries tended to send all 100 requests at one time causing an overload. Second, cards were mailed to

INCOLSA and then sorted and mailed to participants, thus allowing the U.S. Postal Service two chances at affecting response time. Third, OCLC put a moratorium on one of the terminals scheduled for the project, and, as a result, we could not always meet expected production norms. And finally, the INCOLSA Executive Committee voted to extend the project to any library wanting to participate rather than limiting it to the planned 50 participants. Serving 112 libraries more than doubled the anticipated workload and resulted in delays.

Despite one more than the proberbial three strikes against us, respondents still rated the timeliness in service high (see Table II). Slightly more than 80 percent rated it "good" or "very good", but one respondent rated it "terrible". The high favorable response may reflect the situation that many of these libraries face - lack of staff means that they can't get cataloging done very quickly locally and that, despite our delays, we might have been significantly faster than local efforts. Some production times are listed below (these are not selected on any valid sampling).

Request Postmarked	Request Received at INCOLSA	Cards Mailed From INCOLSA
11 August	13 August	30 August
17 September	17 September	21 October
30 September	4 October	22 October
21 October	22 October	16 November
25 October	26 October	8 November
28 October	29 October	19 November
9 December	13 December	5 January
13 December	14 December	6 January
15 December	20 December	7 January
17 December	20 December	11 January

Respondents were asked, in the evaluation, what delivery schedule, on the average, would be acceptable. The results were:

Period	Number Responding	Percent
1 week	11	12.0%
3 weeks	58	63.0
5 weeks	22	23.9
7 weeks	1	1.1

That 75% of the participants would want a continuing service to have a three week turn around is of some concern. Receipt of a mail request at the catalog center and return of the cards to the library from OCLC could well consume at least a full week in the two mailings. Since OCLC does not always stick to its production schedules it may take from 1 to 5 days to get the cards produced. This would mean that no request could be held for more than five working days. To meet this schedule, libraries would have to agree to send in a steady flow of requests and not send large batches at a time.

While use of the mail may not always have been speedy, cards seemed to have made it through in satisfactory condition. No respondent rated card condition as poor. Large shipments were sent in boxes recycled from OCLC shipments, smaller amounts were sent in regular manila or paper envelopes. Overall, about 58,320 cards were mailed.

Type of Materials Cataloged. Respondents were asked to characterize the types of materials for which cataloging was requested. These types are listed below in order of frequency of citation:

Titles in cataloging backlog (65 respondents)

Titles in regular new acquistions (63 respondents)

Titles received as gifts (55 respondents)

Titles for which copy unavailable from commercial vendors (39 respondents)

Titles for which no Library of Congress copy was available (25 respondents)

Titles in special collections, such as Indiana materials (18 respondents)

Government publications (15 respondents)

Technical reports (11 respondents).

Other types were characterized as titles that couldn't be verified locally, titles not in standard sources, titles for which classification was needed, very old titles, art books, and paperbacks.

About 50 percent of the respondents believed that their requests were largely for titles published since 1973; 37 respondents requested cataloging for publications dating from 1960 to 1972, and 10 respondents generally requested titles published prior to 1960.

Table III shows the participants response to a question concerning the priority ranking of materials for which they most need cataloging assistance. It appears that a service handling books, phonorecords, films and filmstrips would meet the needs of most participating libraries.

SECTION II

Service Characteristics.

Participants were asked to respond to a question in which they ranked the order of importance of four criteria: speed, cost, quality, and specialized catalog customized to their needs. These rankings are shown in Table IV.

Combining the rankings of first and second importance and computing the number of respondents who assigned a criteria rank of 1 or 2, the following combined ranking results:

Quality of service - ranked 1 or 2 by 76.7%

Cost of Service - ranked 1 or 2 by 55.3%

Speed of Service - ranked 1 or 2 by 39.1%

Cataloging customized - ranked 1 or 2 by 30.1%.

Cost of Service

In the above evaluation, about 77 percent of respondents have indicated that a high quality service is the most desired characteristic. In contrast, slightly more than 55 percent ascribed cost as first or second priority. These findings are somewhat curious in light of what participants say they would be willing to pay for such a high quality service. The following tabulations show the price respondents would be willing to pay for cataloging, similar to that they received in the project, e.g. full cataloging with cards ready for filing:

Desired Price	Respondents	Percent
25 to 49 cents	55	59.8
50 to 74 cents	19	20.7
75 to 99 cents	11	12.0
1.00 to 1.24 cents	1	1.1
1.25 to 1.45 cents	1	1.1
1.50 to 1.74 cents	1	1.1
1.75 to 1.99	3	3.3
2.00 to 2.24	1	1.1

These data seem to indicate that there is discrepency between the participants' desire to have a high quality service and their concept of what high quality cataloging costs. Over 80 percent of the respondents would be willing to pay not more than 49 to 74 cents for this service. It is unlikely that such cost goals could be reached without enormous volume or continuous subsidies.

TABLE III

RESPONDENTS' RANKING OF TYPE OF MATERIALS FOR WHICH CATALOGING MOST NEEDED

Type of Material	RANKING* 1	2	3	4
Books (ranked by 79)	67	6	2	4
Films and Filmstrips (by 51)	6	32	5	8
Phonorecords (by 56)	5	21	23	7
Audio Cassettes (by 31)	1	2	16	12
Other Media materials (by 27)	0	3	9	15
Government documents (by 24)	2	12	3	7
Periodicals and journals (by 20)	1	7	5	7
Technical reports (by 10)	0	1	5	4

TABLE IV

RESPONDENTS' RANKING OF IMPORTANCE OF SELECTED SERVICE CRITERIA

Service Criteria	RANKING* 1	2	3	4	Total Respondents
Quality of service	38	28	17	3	86
Cost of Service	24	23	28	10	85
Cataloging exactly to each library's need	18	11	14	52	95
Speed of service	8	26	25	28	87

*NOTE: A rank of "1" was most needed, "2" second most needed", etc.

SECTION III

FULL BOOK PROCESSING SERVICE

The Crawfordsville Book Processing Center, now called the Indiana Cooperative Library Processing Center, converted from a manual operation to the OCLC system shortly before this project began. This provided an opportunity to investigate some of the requirements for this alternative method of delivery of automated cataloging services to small libraries.

A survey of users revealed that they used full books processing services for the following reasons (listed below in order of descending frequency of citation).

To reduce cataloging workload

To achieve higher discounts on books purchased

To obtain the convenience of receiving books physically processed and ready to shelve

To obtain more consistent professional cataloging

Lack of time to do work locally

To reduce local paperwork for acquisitions

To work on in-house backlogs

To allow more time for public service.

The processing center users include public libraries, several school libraries, and the special libraries in state institutions. All users of the center were asked to participate in a brief evaluation of the service; 19 responses to the questionnaire were received.

Of particular interest was the user evaluation of the style and type of the former manually produced catalog card and the new OCLC card. In the manual system, the cards were brief form, a number of local practices and conventions had been followed, Sears subject headings were used, and cards were produced on a hand-operated duplicator from typed masters. The new cards were full LC-style cataloging, followed AACR cataloging rules, had subject headings printed in capitals, and used LC subject headings. Table V shows the evaluation of four major changes resulting from the shift to OCLC.

Since the printing, completeness, quality, and subject headings were certainly not the same between the manual and the OCLC system, it can perhaps be assumed that those who checked "same" really meant that the changes didn't matter that much to them. Those who checked "Poorer" or "Better" made stronger value judgements. Assessing these, we find that more people disliked the physical quality of the OCLC card than the manually produced card. This response may also include those who disliked the loss of subject headings typed in red - a feature of the manual system. Two respondents wrote in comments on this loss. Eight times as many respondents thought the completeness of cataloging was better as compared to poorer; seven times as many thought the quality had improved as compared to those who thought it was poorer.

There was an even split on subject headings; as mentioned above, the shift was from Sears to Library of Congress.

A new feature of the catalog cards was the Library of Congress annotations for juvenile literature. Of the respondents expressing an opinion on the usefulness of the annotations, 9 found them useful,3 found them not useful, and 6 had formed no opinion.

Since the Center already processes books, respondents were asked their preference if the Center were to begin to process media and other materials. The order of preference was:

Phonorecords	9
Films and filmstrips	4
Government documents	4
Audio cassettes	3
Technical reports	1
Games	1
Other media	2

This correlates well with the preferences expressed by the participants in the cataloging project where respondents ranked phonorecords and films and filmstrips as of the highest priority in non-book cataloging.

Table VI presents a ranking of service standards or new services by respondents. Combining responses for first and second choices, the respondents would like, in order of preference:

Reduction of time in processing	- 17 respondents
Reduced cost	- 14 respondents
Cataloging without book purchasing	- 5 respondents
Non-book processing	- 1 respondent.

The data from these users contrast with the responses from the catalog project participants: in that group, three times as many respondents ranked lower cost as important as ranked speed as important. Center users,by contrast, by a factor of 3

TABLE V

USERS EVALUATION OF FOUR CRITERIA IN MANUAL VS. OCLC CATALOG SERVICE

CRITERIA	POORER	SAME	BETTER
Print quality and legibility of catalog cards	8	5	3
Completeness of cataloging	1	7	8
Quality of cataloging	1	9	7
Subject headings	5	6	5

TABLE VI

SUGGESTIONS FOR EXPANSION OR IMPROVEMENT IN PROCESSING SERVICE

	RANKING*			
FACTOR	1	2	3	4
Reduction of time to process materials	12	5	0	0
Reduced cost	4	10	2	1
Non-book processing	0	1	8	4
Cataloging only without book purchasing	2	3	4	6

* A rank of "1" was assigned to most important factor, "2" to second most important, etc.

judge greater speed over reduced cost as most important to them. One explanation may be that the latter were using a service with a cost known to them, whereas the former were using a demonstration in which the actual operational costs were unknown to them. Nevertheless, it is clear that timeliness and cost are major factors in provision of services to small libraries.

The efficient use of OCLC in a processing operation depends on:

1) Planning work flow around the terminal operation,

2) Developing a profile to automate as many cataloging operations as possible, e.g. automatic overprinting of call numbers, e.g. "J" for juvenile, etc.,

3) Developing as standard a cataloging operation as possible, e.g. eliminating variations in cataloging for a specific user,

4) Effective training of staff, and

5) Correctly assessing the financial impact of OCLC on the total operation.

The use of OCLC allows a processing center to automate acquisitions searching, cataloging, card production, and, if a printer is attached to the terminal, printing of spine labels and book pocket and book card labels. If the OCLC/MARC tape service is subscribed to as well, the center also has a potential to supply services such as COM (computer-output-microform) catalogs, book catalogs, union lists, etc. These tapes could also be used to provide a brief form locator list since only the processing center code will show on the terminal screen. INCOLSA plans to produce such a list for use by the Indiana State Library and other major interlibrary loan centers in the state having access to the OCLC system. This list would allow them to draw on the collections of the smaller libraries as well as the large for resource sharing.

At present there is not enough media cataloging in the OCLC system to make much of an impact on media cataloging. There is every indication that the media data base will grow rapidly and that this would enable processing centers to provide this much needed service.

INCOLSA's experience is that use of OCLC will allow a center to process for small libraries with:

1) A decrease in original cataloging load,

2) Rapid access to catalog records,

3) Some flexibility in tailoring cataloging to specific customer.

4) A cost about the same as a normal operation and possibly less, depending on the partial manual system being replaced,

5) Increased productivity per worker,

6) Future potential for media cataloging.

By extensive use of clerical and paraprofessional labor, INCOLSA hopes to achieve costs of about $2.00 to $2.50 for full book processing via OCLC with full cataloging for book materials on a full cost recovery basis with no subsidization. During this demonstration we achieved costs of about $2.16 but had some subsidization of cataloging labor and telecommunications.

SECTION IV

SHARING TERMINALS

At the present time, most smaller libraries would consider sharing a terminal primarily because they cannot afford to have their own. Eventually, however, networks may have to require sharing because resources may be limited.

There are several methods by which terminals can be shared. Some potential configurations for sharing are listed below:

1. Single ownership, separate profiles
2. Single ownership, combined profiles
3. Joint ownership, separate profiles
4. Joint ownership, combined profiles
5. Central ownership, separate profiles
6. Central ownership, combined profiles.

Equipment may be owned by a single library, jointly by several libraries, or centrally - by which is meant ownership by a state network, state library, etc. Table VII illustrates typical costs that could be shared. Basically they are: the initial cost of equipment and its installation and the annual recurring costs of operating the equipment. Whether or not a depreciation fee should be charged may depend on where the money comes from, whether the library can legally establish a budget for equipment replacement, etc. Costs for insurance have not been listed; a local determination would need to be made to find out if a separate policy is needed.

If we assume a sharing arrangement in which 2,3 and 4 libraries respectively, jointly-owned and paid annually for equipment, the estimated annual cost and saving as compared to single ownership are shown below:

	Initial Cost Each	Initial Savings	Annual Cost Each*	Annual Savings
2 sharing libraries	2023.75	2023.75	1032.00	1032.00
3 sharing libraries	1349.00	2698.00	934.00	1870.00
4 sharing libraries	1012.50	3035.50	701.00	2103.00

As will be shown later there are many other factors besides cost to consider. However, the potential savings of shared ownership warrants its consideration for small libraries.

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* Assumes a five year replacement fund.

Profiles can also be shared. To use this approach, the cooperating libraries agree to process from a common profile. This requires agreement in basic matters such as card formats but allows flexibility in choice of subject headings and classification. However, only one location code will be displayed on the terminal. The code might be selected for the library housing the terminal, or, if the sharing libraries are a consortium then the name of the consortium. Some potential cost savings are illustrated in Table VIII which assumes various collection overlap percentages for two sharing libraries.

It is easy to assume a higher degree of overlap than actually exists. Libraries should take careful samples to determine the potential collection overlap. For example, check a sample of titles acquired in the last five years. Unless the collections are very similar, an overlap of above 50% would seem unlikely. If the sharers are a small academic and a small public library the overlap might well be less than 15 to 20 percent. Libraries should also realize that, due to different acquistion patterns, the overlap might not accrue within a given processing year. The overall averages might be obtained over time, but in the initial years the savings might well be less. Libraries would also have to work out an equitable distribution of costs. Savings would be divided equally only if the two libraries processed equal amounts. If one library processed 3,000 titles and one library 1,000 then the total cost, at a 15% overlap would be $2,040 and the larger library would pay 3/4 of the cost.

It should be pointed out that OCLC recommends that a terminal be allocated for every 11,000 FTUs for an academic library and every 15,000 volumes for a public library. It would not seem feasible, therefore, for two or more libraries whose total annual cataloging load exceeded these figures to share a terminal.

Major factors to consider in sharing terminals are: scheduling fair access to sharing users time lost in travel to work at the terminal, assembling work in batches for maximum input during time scheduled, developing a policy to cover scheduled periods lost due to system downtime, covering cost of staff travel if significant distances are involved, determining whether staff is covered by insurance if regular travel over significant distance is involved, etc. Another factor is the billing and assessment of fees. It is recommended that the network be asked to review the arrangement and handle the billing. This simplifies the paper work of one library billing another which can create difficulties. Some networks have a specific contract or policy to cover this type of shared arrangement to ensure equitable treatment and payment of bills.

Three libraries share the terminal at the Indiana University Medical School Library. The Medical School Library shares with Wishard Memorial Hospital Library (on a joint profile) and with the Indiana University School of Dentistry Library (which has a separate profile). This arrangement is facilitated by a printer attached to the OCLC 100 terminal which makes it easier to handle records in the data base which need to be checked against local catalogs.

TABLE VII

INITIAL COST AND ANNUAL RECURRING EQUIPMENT-RELATED COSTS

TYPICAL OCLC INSTALLATION IN INDIANA*

A. Initial Costs

Equipment Costs

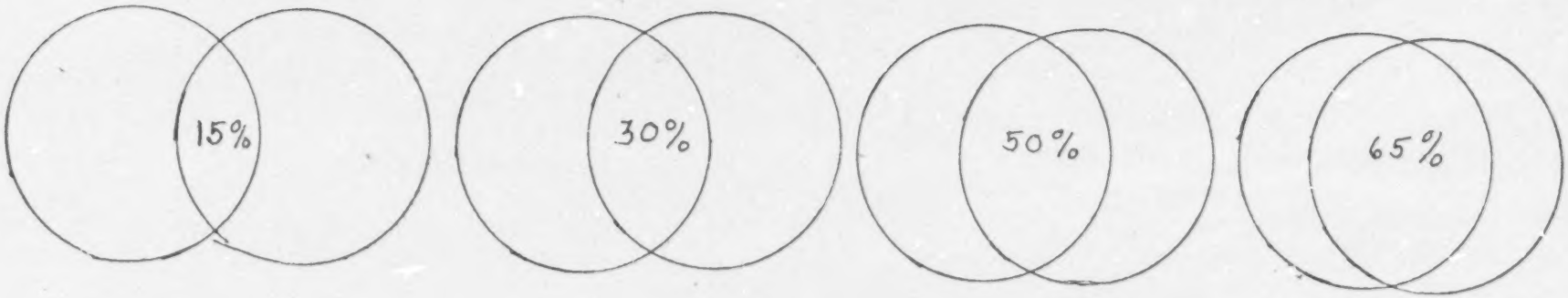
OCLC 100 Terminal		$3,700.00
Installation fee		147.50
Local preparation, wiring, etc. (estimated)		100.00
	Sub Total	$3,947.50
Profiling, estimated average		100.00
Network installation fees **		None *
	Total.....	$4,047.50

B. Annual Costs

Telecommunications ($ 136.00 a month)	$1,632.00
Maintenance ($36.00 a month)	432.00
Terminal depreciation (assuming 5-year depreciation period)	740.00
Total annual equipment costs with depreciation....	$2,804.00
Total annual equipment costs without depreciation.	$2,064.00

* Note these are equipment-related costs and not costs for cataloging, catalog cards, training, etc.

** Some networks charge for handling initiation of services and administration of new installations.



	Assumption 1: 15% Duplication Annually	Assumption 2: 30% Duplication Annually	Assumption 3: 50% Duplication Annually	Assuption 4: 65% Duplication Annually
Each library	1,000	1,000	1,000	1,000
Total Overlap Title	150	300	500	650
Total Unique Title	1,700	1,400	1,000	700
Total FTU	1,850	1,700	1,500	1,350
FTU Cost	$2,220*	$2,040	$1,800	$1,620
Total Savings	$180	$360	$600	$780

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* Assumes 1977/78 FTU rate of $1.20 per title. With no duplication the total cost would be 2,000 x 1.20 = $2,400.

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TABLE VIII: EFFECT OF COLLECTION OVERLAP ON COSTS WITH TWO LIBRARIES ON A SHARED PROFILE.

SECTION IV

Four small libraries have used the central INCOLSA terminal for cataloging. All have separate profiles. Three are special libraries: Detroit Diesel, Allison Division; Bio-Dynamics Laboratory; and the Children's Museum, Indianapolis (not yet operational) and one is Marion College Library. The first three are all in the local area; Marion College is about fifty miles from Indianapolis. For several months, a staff member of Marion College came once a week and was usually able to catalog from 80 to 100 items a trip. This library no longer uses this access mode since it has now obtained a terminal on a Kellogg grant. For small special libraries, in particular, the use of a central terminal in a metropolitan area works quite well. Generally the processing load is low and can be easily handled in a few hours weekly.

The INCOLSA network requires all terminal users, including shared users, to sign the same contract. The same training, financial commitments, etc. are expected of all users. INCOLSA does all the training and does not delegate any responsibilities for overseeing or management of the input or practices of the sharing library to the library having the terminal. We believe that this approach forestalls potential problems and also allows an efficient transfer in case the sharing library later elects to have its own terminal (this has already happened twice in the INCOLSA network).

The major benefits from sharing are: potential reduction of costs, more efficient utilization of equipment, and fostering of local cooperation. Potential problems that must be carefully investigated were noted earlier. If a joint profile is used, arrangements must be made for handling of potential requests from other OCLC users for materials cataloged under the single identification code. Another potential drawback is that sharing is most efficient for cataloging and libraries do not obtain the full advantage of all the features of the OCLC system. Although libraries can batch reference, acquisitions, and interlibrary loan queries, this is perhaps not totally satisfactory. Nevertheless, sharing can be advantageous for the small library.

The following comments were made by the staff member of a small special technical library using the INCOLSA terminal for cataloging. "The geographic distance (library is 12 miles from INCOLSA) is a minor factor. I plan my work so that I make one trip each week. I made out a workslip with the author, title, LC and/or ISBN number and date. I can do our cataloging in about 3½ hours a week: we access about 85 titles a month. We find about what we anticipated in the data base; on the average I have about a 95% hit rate on the first search, but I find very few on second and later searches. The system is easy to use, although the input of original cataloging is time consuming for us because we do it so infrequently. We tend to accept records unless there is a special problem - in fact, the cataloging is better than the quality we had before. There are very few problems caused by not having the book at hand; the biggest disadvantage in sharing is that we aren't able to use the system for other things - such as acquisition searching. Also its use for interlibrary loan in the future would be a definite benefit.

Our participation in the network has been valuable. Small staffs tend to become isolated from the library community and network participation and sharing of

terminals helps bring us in. Also the staff is learning new skills. Until all the features of OCLC are up so that the terminal could be used for all aspects of library work, it probably would not be cost-effective for us to have the system with our low volume; therefore sharing works for us. Since many special library staffs are selected primarily for reference skills, having the OCLC system can help them with cataloging. For us it has improved the quality, reduced the amount of original cataloging, saved on clerical time and we get cards more rapidly. There is a back-up staff on hand so that we can man the library while I am at the INCOLSA terminal."

SECTION V

DIAL-UP ACCESS

Smaller libraries can also access the OCLC system using terminals with a dial-up connection to OCLC. In this type of access the libraries pays for telecommunications only when the system is actually in use. The telecommunications link to OCLC is made through the commerical firm, TYMSHARE, on its TYMNET system. A wide range of terminals, including both printer and some cathode-ray-tube terminals, are compatible with the OCLC system. The library wishing to explore this mode of access submits a description of the terminal it plans to use to the network which obtains a determination of system compatability from OCLC.*

In this mode of access all the standard OCLC charges are levied: profiling, first-time use, catalog card printing, etc. The library has, purchases, or leases its own compatible dial-up terminal and arranges for its installation if it is not already on site. The telecommunication billing varies from that for the dedicated OCLC 100 terminal. The library has three communication charges:

1. A connect charge levied each time the OCLC system is dialed-up; currently the cost is 50 cents a connection.

2. A telephone line charge for connection to the OCLC system from the TYMSHARE node being used.

3. A telephone call to connect with the nearest TYMSHARE node for each connection (this billing will appear on the local telephone bill and is not included in the OCLC billing).

Most networks agree that this mode of access is cost-effective only for libraries with a low volume of cataloging. Candidates for dial-up use are generally special libraries already having terminals for other uses, such as for searching information retrieval data bases. For these libraries this access mode for on-line cataloging is worth exploring.

INCOLSA has only one member using this alternative; altogether there are about 70 dial-up users currently on the OCLC system. The INCOLSA installation has not been up long enough to obtain a true cost picture since initial telecommunications costs would include time for training as well as for cataloging. In four months, three billings have been significantly less or close to the cost of an OCLC 100 terminal on a dedicated line; in one month costs have been about twice that of a dedicated line.

Computing the exact trade-off point is somewhat difficult, due to the many considerations involved. From a business point of view, a company already having a suitable terminal, could obtain interest on the $3700.00 terminal cost and $145.00 installation fee rather than put it out for a new terminal. Assuming it could get at least 6½ percent the savings would be about $250.00 annually; it could therefore afford to run bills at least $20.00 a month over the regular dedicated-line cost and still break even. If the depreciation of equipment is figured over a five-year life, there is also a potential annual savings of about $750.00 that is not lost due to depreciation.

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* Libraries can also direct dial to OCLC; in general this is not recommended for libraries more than 100 miles from OCLC in Columbus, Ohio.

SECTION V

The major difficulty in using dial-up is the uncertainty of the monthly charges since it is easy to run up bills if operators are not efficient in both system use and in batching work. Although the dial-up terminals are slower than the OCLC 100, it does not appear that this is a serious problem for the low volume user.

Following is a brief comparison of the telephone line and equipment costs to-date for the INCOLSA dial-up user (A) in comparison to costs if the library were using the dedicated OCLC 100 terminal (B):

A. Total titles cataloged in four month period.....	461
Total Telecommunications costs $582.00 billed by OCLC plus estimated 60.00 to call TYMSHARE node.....	$643.00
Cost to use existing on-site terminal.....	0
Equipment and telecommunications cost per item.....	$1.39
B. Total titles cataloged in four month period	461
INCOLSA monthly communication fees, four months.....	$520.00
Terminal maintenance for four months	$144.00
Pro-rated loss of interest and equipment depreciation (1/3 of $950.00)	$318.00
Equipment cost per item using OCLC terminal	$2.13

This computation should be used very carefully. First the comparison assumes that the library has available an existing compatible terminal which it can use at no additional cost and on which time is available. Each library should make a careful determination based on data relevant to it.

Benefits of the dial-up access include:

1. Potential use of equipment already on-site,

2. Ability to use the same terminal to access OCLC and other data bases such as those offered by Lockheed, System Development Corporation, and Bibliographic Retrieval Services, Inc.,

3. Use of lower cost equipment,

4. Availability of printed copy may be a benefit in some situations, such as sharing a terminal away from catalog files,

SECTION V

5. Potential cost savings for low volume users, especially if input and search can be batched.

Disadvantages of dial-up access include:

1. Telecommunication costs may be high as volume increases or if staff uses system inefficiently,

2. May be more costly if all future features of the OCLC system are used, e.g. interlibrary loan, serial check-in, etc.

Readers interested in this approach should contact their network and the report "Dial-Up Access to OCLC" (Revised January 1977), prepared by the Ohio College Library Center.

APPENDIX

EXHIBIT 1

School Libraries and the InCoLSA Network

By Janice Alexander

Background:

The Indiana Cooperative Library Services Authority (InCoLSA) is a statewide library network operated under the auspices of the Library Services and Construction Act (LSCA). InCoLSA was established in 1974, and became operational in 1975, with membership open to all types of libraries: school, public, academic and special. Library networks are relatively new, but are growing rapidly. Networks have been established in response to many problems facing the library community: rising costs, staff shortages, and an increasing demand for services. A network is based on the belief, that, by joining together in a cooperative effort, each library will be better able to solve these problems and provide better service to its users.

At present, 121 libraries have joined InCoLSA; of these 20 are school libraries. Libraries join InCoLSA by submitting a Membership Resolution signed by the administrator of their organization. Each member has an official voting representative on the InCoLSA Board of Directors. The Board of Directors votes on policy, budget, programs, and elects an Executive Committee. The members of the Executive Committee must represent all four types of libraries. Mrs. Sena Kautz, Director of Media Services, Duneland School Corporation, is a member of the Executive Committee and serves as secretary of the Organization. No fee is required to join InCoLSA.

Activities:

The InCoLSA Network has four major objectives:

1. To improve services to the users of Indiana libraries.
2. To reduce the rising costs of library operations.
3. To make more effective use of Indiana's library personnel.
4. To insure an effective integration of Indiana's libraries into a national library network.

Of the many services that InCoLSA could provide, the Board singled out four for priority attention:

1. Establishment of a MARC-based cataloging service and initiation of an Indiana data base.
2. Continuance and updating of the Indiana Union Catalog (List) of Serials.
3. Establishment of a viable cataloging service for small libraries.
4. Development of a systematic program of publicity, communication and staff training.

Perhaps of greatest immediate interest to school libraries is the project relating to the establishment of an Indiana data base and a MARC-based cataloging service. Each of these will be discussed in some detail.

On-Line Data Base:

The establishment of an on-line data base is based on a contract with the Ohio College Library Center (OCLC). Telephone lines link terminals in Indiana to the computer data base in Columbus, Ohio. The terminals have a typewriter type of

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Ms. Alexander is network librarian for the Indiana Cooperative Library Services Authority.

keyboard and a cathode-ray-tube (CRT) display screen.

The system works as follows. An operator can search a title by author, title, author/title, Library of Congress card number, International Standard Book Number (ISBN), International Standard Serial Number (ISSN), or Coden, a five or six character code assigned to scientific journals by Chemical Abstracts. When the correct record for the title is found, it is displayed on the terminal screen. The operator can then edit the record as needed and, upon hitting the "produce" button, send a command to the computer to print a full set of catalog cards.

Of paramount importance is the fact that cataloging efforts can be shared. These cataloging efforts include those of the Library of Congress (LC), as well as those of hundreds of OCLC participating libraries throughout the United States. School libraries in some 40 states are cooperating to build the data base.

The InCoLSA Network will have about 58 terminals in 43 libraries by February, 1977. Of particular interest to school librarians will be the installation of terminals in the Gary School System and the Vigo County School Corporation. These two large centralized school processing centers will become operational early in 1977, at which time the InCoLSA staff will train existing staff in the applications of the MARC Formats for Books and Films, and in the skills necessary for operating the terminal. Such direct access to the OCLC cataloging system and data base will allow these libraries to benefit from Library of Congress cataloging, which has been added to the data base through LC's MARC Service (MARC records include all the information that would be printed on an LC catalog card for adult and juvenile material plus special data needed for computer processing and automated information retrieval), as well as the original cataloging done by other OCLC participating libraries. The Machine Readable Cataloging (MARC) records include all English language titles for both adults and children, foreign language titles including Spanish and French, and audio-visual materials such as motion pictures, filmstrips, slides and transparencies, which have been cataloged by the Library of Congress.

Cataloging Services:

InCoLSA has a separate project to determine how the benefits of a sophisticated system like OCLC could be made available to small libraries. For example, since a large number of Indiana's school libraries do not have central processing centers, and have limited funds and staff, direct participation in OCLC might be prohibitive. To help explore other potential ways in which on-line cataloging could be shared cooperatively, InCoLSA applied for and received a U.S.O.E. research grant to study this problem. Three methods are under study:

1. Local sharing of cataloging terminals.
2. Centralized processing center.
3. Search and catalog services from a central terminal.

The latter two will be discussed below.

The Indiana Cooperative Processing Center at Crawfordsville, formerly Crawfordsville Book Processing Center, has been operational for fourteen years. By contracting with the Center, a school library can receive full book processing. The Center has two OCLC terminals, which are used for cataloging. Although more public than school libraries are current users, some school libraries are already using the Center and receive computer produced catalog cards. Full book processing includes book ordering, complete sets of catalog cards, and preparation of the book for use, e.g. plastic jackets, circulation cards, labels, etc.

When schools contract for this service, they submit information to the Center on cataloging specifications, e.g., the length of the Dewey call number, treatment of special reading materials such as fiction and biography, cuttering (Cutter-Sanborn or

three letters), and whether the book is for adults or children. At present, the Center's services are limited to the ordering and processing of books, but consideration is being given to a possible audio-visual cataloging service. If this service is feasible, it should benefit school libraries, since A-V cataloging poses its own unique problems and is very time consuming.

For various reasons, some schools may not be able to use a full book processing service. However, these librarians are interested in obtaining needed cataloging information. All too often limited bibliographic resources, staff shortages, and the lack of staff time combine to make school library cataloging very difficult. As a result, many school librarians have turned to commercial catalog card vendors such as H. W. Wilson and Jostens or the Library of Congress catalog card service. However, often these services may be slow and may not allow any tailoring to meet local needs and most importantly, they may not provide cataloging for all or even most of the books. In an effort to aid school libraries, InCoLSA through a U.S.O.E. grant is conducting an experimental cataloging service. Through this service, InCoLSA will catalog up to one hundred titles per library at no cost and will supply full sets of catalog cards generated by the OCLC system.

This project was announced widely through out Indiana in July, 1976. To date 111 small libraries have agreed to participate, and of these 44 are school libraries. Each participant has agreed to complete a brief questionnaire at the conclusion of the project, evaluating the benefits of such a service. Participation in the project was opened to all small libraries regardless of whether they were members of InCoLSA. Each participating library submits for each title an order form, which resembles a multiple order form used in book purchasing. The library supplies the author's name, title, place of publication and publisher, date of publication, etc., and the type of call number desired, etc. When these slips are received, a terminal operator searches the OCLC data base, locates the cataloging information, edits the data, and requests catalog card sets from the OCLC computer system. After receipt, the cards are matched with the order slips and returned to the requesting library. If a title is not located on the first search, it is searched again. Should it still not be found in the data base, the slip is returned to the library along with a new slip in order that an alternative title may be submitted.

The response to this cataloging experiment has been far greater than expected. During the last two months, school libraries have submitted 1,182 requests; cataloging was provided for 1,151 of these. In other words, for school library requests, the data base contained the needed cataloging 97.4% of the time. For the remaining 31 titles, 2.6% of the requests, no record was located in the data base. It was noted that these requests were generally for older titles.

An analysis was made of the requests submitted by three school libraries. The characteristics of the requests were as follows:

School library "X"–principally older imprints from the 1940's and 1950's.

School lintsty "Y"–recent imprints, 1973 to date.

School library "Z"–imprints for the 1960's and early 1970's.

	Sch. Lib. "X"	Sch. Lib. "Y"	Sch. Lib. "Z"
Total titles submitted	112	95	34
Total titles located	96	94	34
Total titles not located	16	1	0

The reader will note that the find rate was very high for schools "y" and "Z", which requested cataloging for recent imprints and was lower, but still good, for school library "X" requesting cataloging for titles twenty to thirty years old. Since

MARC began in the 1960's and OCLC's on-line cataloging system began in 1971, the proportion of catalog records is greater for this time period. However, as the system matures, many libraries are inputting data for older titles.

The type of cataloging source was also analyzed. OCLC records come from three sources: MARC records (titles cataloged and put into the MARC format by LC); LC input (cataloging done by LC, but put into the MARC format by an OCLC participating library); and original cataloging (cataloging done and input by an OCLC participating library). The following table shows the source of the cataloging found for the school libraries analyzed:

Cataloging Source	Sch. Lib. "X" Requests	"X" %	Sch. Lib. "Y" Requests	"Y" %	Sch. Lib. "Z" Requests	"Z" %
LC/MARC	15	15	66	70	22	65
LC input by OCLC User	19	19	2	1	2	6
Original Cataloging by an OCLC User	63	66	28	29	10	29

The analysis seems to indicate that, for older imprints, a larger percentage of the cataloging information was available as a result of original cataloging done by OCLC member libraries. For more current imprints, LC/Marc records served as the main source. These data show how school libraries could benefit by having access to cataloging done by other libraries.

This project will continue for three more months after which a final project report will be prepared. Based on the findings of the project and the response of the participants, InCoLSA may initiate a cataloging service on a continuing basis.

Networking is new. It may be difficult for some librarians to see how their libraries would benefit, particularly if it is small. Some network experts believe that the small library will, in fact, benefit the most from networking. Networking can provide a back-up to local cataloging, references services, and the promotion of more effective user services.

InCoLSA is among those networks encouraging school library participation. InCoLSA hopes to provide an opportunity for school libraries to explore, try, and implement needed state wide library services. For information concerning InCoLSA membership and services contact: Barbara Evans Markuson, Executive Director, InCoLSA, 1100 W. 42nd Street, Indianapolis, Indiana 46208 or phone (317) 926-3361.

AASL PROFESSIONAL ASSISTANT NAMED

The American Association of School Librarians (AASL) has announced the appointment of the division's first professional assistant.

Babetta Jimpie, formerly Director of Libraries/Department Head in the Granbrook Education Community, Bloomfield Hills, Michigan, assumed the position of AASL Professional Assistant on November 1.

In her new position, she will handle AASL general organizational matters with special responsibility for membership promotion and development and maintenance of working relationships with related educational organizations.

EXHIBIT 2 - First Mailing

CALL FOR PARTICIPANTS IN INCOLSA's CATALOGING SERVICE FOR SMALL LIBRARIES PROJECT

INCOLSA has received a grant from the U.S. Office of Education to study ways in which small libraries can make use of the computer-based cataloging system developed by the Ohio College Library Center (OCLC). For this project, small libraries are defined as those whose budget or volume would prohibit local installation of the OCLC system. We are not ready to begin the operational phase of the project and are looking for libraries willing to assist the project. Except for a modest postage fee, libraries should not incur any local costs and, within the project terms, will receive cataloging at no cost. Crawfordsville Processing Center and INCOLSA are cooperating in this project.

GROUND RULES

An initial group of 50 libraries will be selected to participate in this project. These libraries will not currently be using the Crawfordsville Processing Center on a regular basis since users of the Center are participating under different arrangements. Each of the 50 libraries can request catalog cards for up to 100 different titles. Cataloging requests must be submitted prior to December 15, 1976. Libraries can specify types of cataloging needed and the catalog card option desired (full set including shelflist card, full set plus specified number of extra cards, or a single card). Libraries will pay the cost of mailing the request to INCOLSA, but INCOLSA will supply mailing envelopes and will pay for the catalog cards and the postage to mail the cards back to the participants. Each participant must agree to complete a short questionnaire at the end of this participation in the project to help Indiana and other states evaluate the benefits of the OCLC data base and catalog cards for small libraries.

For each title for which cards are desired, participants will complete a catalog request form (sample enclosed) to identify the title and the type of cataloging needed. The bibliographic data needed can also be submitted on an attached order form, xerox of the title page, purchase listing, etc., if more convenient. Forms will be returned to INCOLSA and INCOLSA staff will search the OCLC data base of more than 2,000,000 catalog records. Search results will be taken to Crawfordsville for input and card production using the card production program and profile already operational at Crawfordsville. It is hoped that catalog cards would be received by the requesting library within 15 working days of the initial request. (A sample pack of cards is enclosed as an example.)

The project grant does not include enough money to cover original cataloging. Therefore, catalog cards will be supplied if the record is in OCLC or if copy can be found by searching standard bibliographical tools. If INCOLSA continues this service in the future, it is anticipated that original cataloging would be provided. However, experience of OCLC users indicates that almost all titles normally received will already be in the data base. (A school library processing center in Ohio reports that in two years they have had to do local cataloging for only 60 titles.)

BECOMING A PARTICIPANT

If you wish to take part in this project, complete the enclosed form and return it to INCOLSA by July 30, 1976. Participants will be selected on the following basis: (1) INCOLSA members, (2) ALSA members not belonging to INCOLSA, (3) other libraries. Participants will receive kits of envelopes and request forms after notification of their selection. If more than 50 libraries want to participate, additional libraries will be accommodated as funds permit.

EXHIBIT 2 - First Mailing

APPLICATION FOR PARTICIPATION IN THE INCOLSA SMALL LIBRARY CATALOGING PROJECT

Name of Library _____ INCOLSA MEMBER ___ Yes ___ No

Address _____ ALSA Member _____Yes _____No

_____ Zip Code _____ Name of ALSA _____

Telephone _____ Total 1976 budget (Books, Magazines & Binding)_____

Contact Person _____ _____

Our library has (_____never) (_____formerly) (_____currently)

(_____regularly) obtained catalog cards from the Crawfordsville Processing Center.

General Cataloging Data: Type of Classification: Library of Congress _____
Dewey Decimal (full)_____
Dewey Decimal (shortened Number)_____

Subject headings: Library of Congress_____
Sears _____

My library understands that catalog cards will be supplied for up to 100 different titles provided requests are submitted to INCOLSA before December 15, 1976.
My library agrees to pay postage to send the request to INCOLSA and understands that catalog cards will be provided at no cost.
We agree to complete a short questionnaire prior to December 31, 1976 to help determine the benefits of this service on a continuing basis.
We understand that catalog cards will be supplied but only if copy is readily available and that project funds do not permit original cataloging. LC classification will be provided if readily available; Decimal classification will be provided for all titles cataloged. Unfilled requests will be returned to the library and do not count against the 100 titles.
We retain ownership of the catalog cards and may use them in our local catalog if they are satisfactory to us.
We incur no further obligations beyond this project.

Signed _____
Librarian

Date _____

Mailing Address for Cards (if different from library address above).

_____

_____

_____

_____

INCOLSA SMALL LIBRARIES OCLC CATALOGING PROJECT

INSTRUCTION SHEET

1. A supply of order forms is enclosed for use in ordering OCLC cards.

2. Each title for which cards are ordered should be on a separate order form.

3. Identify your library by typing, writing, or stamping name and address in space provided.

4. If available, supply the LC card number and/or the ISBN (International Standard Book Number). (At present cards can be produced only for books. Later we may be able to provide cards for serials and non-book materials).

5. Bibliographic data: You must provide bibliographic data (author, title, edition, etc.) by typing or writing it in the space provided, by attaching an order form, publisher's blurb, etc. Or you can provide a xerox of the title page.

6. Call number: Please specify the type of call number you want. The options are:

   no = no call number
   y = call number wanted
   FD = Full Dewey call number
   SD = Shortened Dewey Call number
   FLC = Full LC call number
   C = Cutter (for Dewey libraries specifying this option the Cutter/Sanborn table will be used. For LC libraries specifying this option, the cuttering supplied by LC will be used.)
   NC = Provide LC or Dewey number as specified but do not cutter
   3L = Use the first three letters of authors last name as cutter

7. Card option: FS = full set of cards for main, added and subject entries and shelf list
   SC = main entry card only
   Extra = extra main entry cards without headings for local use (Specify number desired. You can have extra cards and a full set).

8. Adult or Juvenile and Other:

   Adult = Cards for adult collection
   Juvenile = Cards for juvenile collection - these cards will have, in most cases, brief annotations and subject headings appropriate for juvenile users.
   Other: Any special heading wanted above the call number such as "J" for juvenile, "REF" for reference, "Mystery", etc.

   Note: These will be input exactly as you specify. If you do not classify fiction you could check 3L under call number and "Fic" under fiction, for example, and the cards would have the following type of call number:

Fic
Ben

9. Nearest Edition: If you want cards only when the specific edition matches check No.

   If a similar edition is located in the data base check Yes if you want these cards. You might then have to do some local modification.

10. The bottom line of the form is for use by INCOLSA. If you need more space, write on the back of the form. A sample completed form is on the back of this sheet.

11. If you have questions, call us collect on 317-923-7936. Please identify the call as relating to the USOE Project.

Send Cards to:

[illegible] LIBRARY
[illegible] UNIVERSITY
1100 W [illegible] STREET
INDIANAPOLIS, INDIANA 46208

Coding for various call number types:

Fic Sha	Check: No call number, x check "3L" for cuttering, and indicate "Fic" as Other.
635.0973 Kra	Check: "Y" for call number, "FD" for full Dewey, and "3L" for cuttering
F526 .C75	Check: "Y for call number, FLC for full LC classification, C for cutter
F526	Check "y" for call number, FLC for full LC classification, NC for no cutter
Mystery	Check "No" call number, NC for no cuttering and specify "Mystery" under Other.

Sample completed form and resulting card set:

Lib.Name&Address
X LIBRARY

LC# 75-9307

ISBN#

Auth: Kraft, Ken

Tit: The best of American gardening

Place: N.Y. Publ: Walker

Date: 1975 Edit: Pag: 214

Call#: No Y X FD X SD FLC C NC 3L X

Cards: FS X SC Extra 1 Adult J
Other:

Nearest Edition, No -Y

OCLC MARC LC OC ICPY ICPN

EXTRA

SUBJECT

635.0973
Kra
Kraft, Ken.
The best of Americ
centuries
Pa
GARDENING.

SUBJECT

635.0973
Kra
Kraft, Ken.
The best of American gard
centuries
GARDENING--UNITED STATES--HISTORY.

ADDED ENTRY

635.0973
Kra
Kraft, Ken.
The best of American gardening : two
Kraft, Pat., Joint author.

SHELFLIST

635.0973
Kra
Kraft, Ken.
The best of American gardening : two
centuries of fertile ideas / Ken and
Pat Kraft. New York : Walker, 1975.
214 p. : ill. ; 24 cm.
Includes bibliographical references
and index.

MAIN ENTRY

635.0973
Kra
Kraft, Ken.
The best of American gardening : two
centuries of fertile ideas / Ken and
Pat Kraft. New York : Walker, 1975.
214 p. : ill. ; 24 cm.
Includes bibliographical references
and index.

1. Gardening. 2. Gardening--United States--History. I. Kraft, Pat., Joint author. II. Title

26 MAR 76 1749653 ICRYca 75-9307

EXHIBIT 3

GENERAL SURVEY OF PARTICIPANTS IN INCOLSA'S CATALOGING PROJECT FOR SMALL LIBRARIES

1. Please rate the preliminary instructions and directions for filling out card requests (were these adequate, understandable?).

   POOR FAIR GOOD VERY GOOD

   Comments:

2. The card request form was

   POOR FAIR GOOD VERY GOOD

   Comments:

3. Please evaluate in general the accuracy of the cataloging:

	POOR	FAIR	GOOD	VERY GOOD
A. Call number acceptable				
B. Subjects acceptable				
C. Description accurate (Matched piece in hand)				

   Comments:

4. The format and appearance of the cards:

   POOR FAIR GOOD VERY GOOD

   Comments:

5. Time between request and delivery of cards was:

   POOR FAIR GOOD VERY GOOD

   Comments:

6. Condition of cards on receipt was (e.g. was there damage in shipment?)

   POOR FAIR GOOD VERY GOOD

   Comments:

7. Please rate the overall usefulness of the cards:

   POOR FAIR GOOD VERY GOOD

   Comments:

8. Did you actually use the cards from the project in your catalog?

_____ No _____ Some of Them _____ Most of Them _____ Yes

9. Check any of the following characteristics which apply to some or all of the titles for which cataloging was requested.

_____ No Library of Congress Copy
_____ Government publications
_____ Cards unavailable from vendors
_____ Technical reports
_____ Cataloging backlog
_____ Special collections material (e.g. Indiana)
_____ New Acquisitions
_____ Gifts
_____ Other _____

10. Which of these imprint dates represents the majority of the material for which you requested cataloging?

_____ Pre-1960 publications

_____ 1960 - 1972 publications

_____ 1973 and more recent publications.

11. Do you agree, in principle, with the idea that small libraries, as a minimum, should be willing to add their unique materials, such as local history, to a state-wide data base to assist in resource sharing and inter-library loan?

Comments:

12. If this type of cataloging service were available on a continuing basis, to what extent would you be interested in such a service?

DON'T KNOW NOT INTERESTED SOMEWHAT INTERESTED DEFINITELY INTERESTED

13. What average time from request to receipt of cards would you find reasonable?

1 Week 3 Weeks 5 Weeks 7 Weeks

Comments:

EXHIBIT 3

14. What is the maximum you would be willing to pay per card set similar to those received in the project and ready for filing in your catalog?

_____ 25 - 49¢	_____ 1.00 - 1.24	_____ 2.00 - 2.24
_____ 50 - 74¢	_____ 1.25 - 1.49	_____ 2.25 - 2.49
_____ 75 - 99¢	_____ 1.50 - 1.74	_____ 2.50 - 2.74
	_____ 1.75 - 1.99	_____ 2.75 - 3.00
		_____ Over $3.00

Comments:

15. What factors are most important to you in using a central cataloging service (Please rate 1 - 4, 1 = most important).

_____ Speed of service

_____ Cost of Service

_____ Quality of service

_____ Cataloging exactly matches individual library's need.

Comments:

16. For which of the following types of material would you most need cataloging? (Please rate top 4, 1 = most important).

_____ Books	_____ Other AV Material
_____ Periodicals, Journals	_____ Government documents
_____ Films, Filmstrips	_____ Technical Reports
_____ Phonorecords	_____ Other _____
_____ Audiocassettes	_____

PLEASE RETURN BY March 1, 1977 to: INCOLSA
1100 W. 42nd Street
Indianapolis, Indiana 46208

If you have any questions please call (collect): (317) 926-3361, and ask for Barbara Markuson or Ralf Shaw.